



Faculty Development and Research (FDR)
Grant Funding Guidelines

2020-2021 Academic Year
[Revised December 2020]

[Office of Sponsored Projects and Research \(OSPR\)](https://www.esu.edu/ospr/grant_opportunities/fdr/index.cfm)
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THE FACULTY DEVELOPMENT AND RESEARCH (FDR) COMMITTEE

The Pennsylvania State System of Higher Education (PASSHE) Board of Governors Policy (1985-06A0) mandates that each of the PASSHE schools maintain an active faculty development program to encourage continuous attention to the professional growth and development of the PASSHE faculty as teaching scholars. To accomplish this, the Provost's Office has established the Faculty Development and Research Committee (FDR) at East Stroudsburg University. The Committee membership is broadly representative of the faculty with members selected proportionally from each of East Stroudsburg University's four colleges. Each college has two representatives to provide equal participation in decision-making. Membership on the Committee is for a of 3-year term and at the invitation of the Provost's Office. The Committee selects a chairperson from within its membership. The Committee's recommendation is sent to the Office of the Provost for ratification and appointment. The chairperson term is for 2 years of active leadership.

Committee membership includes the following:

- College of Arts and Sciences: 2 representatives
- College of Education: 2 representatives
- College of Health Sciences: 2 representatives
- College of Business Management: 2 representatives
- Non-classroom Faculty: 1 representative
- Committee Chair: non-voting member
- Assistant Director, OSPR: non-voting member (ex-officio)

The Committee meets regularly during the academic year to review requests for funding from faculty. Awarded grant decisions are based upon a consensus of the Committee members attending the meeting at which the requests are considered. The Committee reviews, rates, and ranks grant proposals according to a rubric. The decisions of the committee are communicated to the applicants within approximately one month of the submission deadline, typically within one week of the committee's review meeting.

The Committee's decisions on each application fall into one of three categories: Approved, Conditionally Approved needing modification, and Not Approved. **Incomplete applications will be returned** to applicants without being reviewed. Therefore, it is imperative that the grant author follow the published guidelines. Committee decisions are final and appeals are not permitted.

The FDR committee also administers and collects proposals submitted for PASSHE's Faculty Professional Development Council (FPDC) grant program—when the program is open.

I. GRANT APPLICATION DEADLINES

Category and Grant Activity Periods	ESU eGRANTS Submission Deadlines (Noon, 12:00 pm)
Fall 2020	
Mini Grants, round 1 (<i>for fall 2020 projects</i>) Course Release Grants (<i>for spring 2021 or fall 2021 release</i>)	Monday, September 14, 2020
Mini Grants, round 2 (<i>for spring 2021 projects</i>) Major Grants (<i>for spring 2021 begin</i>)	Monday, October 19, 2020
Spring 2021	
FPDC, internal review (<i>for summer 2021- AY 2021-2022 projects</i>) Note: The FPDC competition is managed by PASSHE. Their deadline is February 15, 2021.	Monday, January 25, 2021
Mini Grants, round 1 (<i>for summer 2021 projects</i>)	Monday, February 15, 2021
Mini Grants, round 2 (<i>for fall 2020 projects</i>) Major Grants (<i>for summer or fall 2021 begin</i>)	Monday, March 22, 2021

II. VISION

The Office of the Provost wishes to support a culture of research at ESU, including one of discovery, scholarship, collaboration, and interdisciplinary research. This culture includes leveraging more grants in support of research from external funders. ESU will adopt best practices to identify, nurture and reward research, scholarship, creativity and innovation across the university in all fields and disciplines, and will support ways to disseminate that research internally in the ESU community, and externally in publications.

Keeping the University's strategic plan in focus, Students First: Empowering Innovation through Collaboration 2017-2020, the Office of the Provost encourages internally grant-funded project principal investigators (PIs) to include undergraduate students in their projects and explain the measurable student-learning-outcomes (SLOs) in their proposals. Applications which demonstrate a significant inclusion of UG student researchers/workers with demonstrable SLOs will be favored during the committee's review process.

III. GENERAL FDR GUIDELINES AND PROPOSAL INSTRUCTIONS

Grant Categories

A. **Mini Grant** (up to \$1,200)

B. **Major Grant** (up to \$10,000)

Eligibility

- ❖ Tenured *and* tenure-track faculty members are eligible to apply for Mini and Major grants. Priority is given to tenure-track faculty members, and priority points will be given to those seeking tenure. Faculty members appointed on a temporary basis are NOT eligible.
- ❖ There are no restrictions for faculty who will be on sabbatical. They may apply for and implement FDR grants.
- ❖ It is acceptable for an individual faculty member to be on more than one project submission.
- ❖ Preference will be given to faculty who are in the initial stages of building a research career, who are returning to the funding arena, who are exploring a new research focus, or who are working with an established or emerging group to create a nationally-recognized center of excellence in support of a substantive research area.

Funding

- ❖ ALL FDR Mini Grant Funds awarded in the 2020-21 academic year **MUST BE SPENT** by the last day of the grant activity period. If needed, an extension may be requested; only one request for an extension is allowed.
- ❖ ALL FDR Major Grant funds awarded in the 2020-21 academic year **MUST BE SPENT** by the end of the following fiscal year, June 30, 2022.
- ❖ Funds can only be used for the project for which the committee awarded grant funds.
- ❖ Only one extension of time will be allowed per FDR grant.
- ❖ Upon any change in the project, please notify the OSPR immediately.
- ❖ PIs are responsible for the close monitoring of their grant's expenditures. If you exceed your budget, your department will be responsible to pay for the overage. PIs are expected to monitor their expenditures in Business Intelligence.

Application Instructions

- ❖ ALL internal grants are applied for through this portal [ESU eGRANTS](#)
 - Please register yourself in the online system found through the [OSPR website](#)
 - Supporting documents are uploaded in the portal and include: project narrative, FDR budget template, budget justification, and a 2-page CV. Allowable file formats include Word, PDF, and Excel.
 - The OSPR will obtain approvals from department chairs and deans within ESU eGrants.
 - Late, incomplete, and/or paper applications will not be accepted.
- ❖ Applicants are reminded that their proposals will be reviewed by a diverse group of their peers who may not be well-versed in the subject area of the project or with the discipline involved. The proposal should be clearly presented and it should be as free of technical jargon as is reasonably possible.
- ❖ The proposal should follow the FDR Guidelines, be proofread carefully for typographical

errors, and be presented with clear and uniform formatting.

- ❖ If research involves the use of human subjects, please visit ESU's [Institutional Review Board](#) (IRB) and complete the application BEFORE submitting your grant proposal.
- ❖ If research involves the use of live animals, visit the [Institutional Animal Care and Use Committee](#) (IACUC) site and fill out the application.
- ❖ Grant activities should be implemented (begin and end) within the academic period intended for each competition cycle.



Undergraduate Student Involvement: Every application should clearly explain the involvement of/impact on undergraduate students. In the least, proposals should demonstrate the anticipated benefits that the proposed activity will provide the ESU student body. Proposals which significantly demonstrate the direct educational impact on undergraduate students with measurable student-learning outcomes (SLOs) will be favored during the committee review process.

A. Mini Grants

Description

Mini Grants may be used to increase a faculty member's skill set, to fund a variety of small research projects, or to fund scholarly growth activities. Recurring events or projects previously funded through FDR are not eligible for Mini Grant funding.

FDR Mini Grants *can* support:

- Attending a workshop to enhance a faculty member's skills or to obtain experience in a new area that a faculty member may wish to explore for research potential. Workshops must have a tangible skill or output associated with it. Simply attending a conference is not fundable (deans and academic departments have funds for this purpose); however, if a workshop is imbedded within the conference and the applicant can make a case for why he/she is attending, it may be considered. It is incumbent on the applicant to include supporting documentation for the committee, such as the workshop details posted online, links for the training, explanation of the tangible skills or credentials that will result from the training, etc.
- Purchasing small equipment, specialized software, or laboratory supplies to complete a research project.
- Travel expressly to pursue a research agenda (ex: for data collection but not simply to present at a conference), to start or end a project, or to develop a skill.
- Hiring services of an outside agent or agency to carry out work which is shown to not be possible at ESU.
- Defraying publication costs.

FDR Mini Grants *cannot* support:

- Attendance at a conference without strong justification for acquisition of new skill (via an embedded workshop, for example).
- Presenting a paper or a poster at a peer-reviewed conference for general scholarly purposes or for the completion of degree requirements (departmental/dean FDR funds are allocated for this purpose).
- Delivering invited lectures, chairing a session, or workshop facilitation.
- Unjustified travel costs.
- Graduate student thesis projects.
- Self-promotional projects which lack broader impact/student impact.

FDR Mini Grant Funding

Faculty members may apply for **up to \$1,200**. Faculty may put forth as many applications as they wish for different purposes, but may not exceed \$1,200 total. If submitting multiple projects, you must complete separate applications for each.

If the project for which you are awarded FDR funds changes in any way, for example, you are unable to attend said workshop; the dates of the event/research change; etc., you **MUST** notify the OSPR immediately. Funds can only be used for the project for which the committee awarded grant funds.

FDR Mini Grant Reporting

Reporting occurs in the [ESU eGRANTS](#) portal. You will receive notices that your report deadline is approaching. All Mini Grant recipients must submit a final activity report to the OSPR no later than 60 days after the end date of the project, as indicated in the original application.

Mini Grant Proposal Preparation Guide

1. **Project Title**
2. **Abstract:** 500 words maximum at the beginning of the application
3. **Project Narrative:** *maximum 5 pages and must include*
 - a. **Professional Learning Development Statement** - *maximum 2 pages*

Justify and explain your rationale for pursuing this grant opportunity. Make this a compelling statement clearly explaining the opportunity involved and how it will enhance your specific skill set as a researcher, teacher, etc. You must detail how the activity will positively impact students and your field of study.

 - i. If the mini grant is intended to fund a small research project or creative activity, this section must also detail the objectives and methods for the proposed work detailing how your approach is intended to achieve your professional learning goals.
 - b. **Substantiality of Project** - *maximum 1 page*

Provide proof of substantiality in the form of a description of the workshop you wish to attend from the catalogue or website; or alternatively provide a

description of the materials, equipment, etc. you wish to purchase with an explanation as to why the purchase is essential to carry out the research/project.

- c. **Student Impact:** Detail the student learning outcomes (SLOs) impacted by the project as well as specific courses that may benefit. Indicate the names and majors of students who will be directly involved in the project, if known. Otherwise, estimate the number of students that will be impacted and how. Include mention of whether the students are enrolled as undergraduates or graduate students.
- d. **Timeline:** approximate project startup objectives delivery times, major events, and follow-up activities in chronological order.

4. **Budget:** use the FDR Budget Template provided in [ESU eGRANTS](#)
5. **Budget Justification** (aka Budget Narrative): Provide narrative and calculation details of all the budget template entries; see sample in Budget Instruction section, p. 12. If you are using a vehicle for travel, visit the [Trip Optimizer](#) and include a print out with your application. The business office will only reimburse at the rate of the most cost-effective way to travel.
6. **CV:** *2-page maximum* Include all relevant professional publications and courses taught as relevant to the SLOs listed.

B. Major Grants

Description

The FDR Major Grants program is intended to provide seed funding for new, large research projects or creative activity and can be applied for by individual faculty or as a joint proposal with one or more faculty members.

FDR Major Grants *can* support:

- A summer stipend for the PI and/or salary for student workers.
- Costs to complete the project for which the committee awarded grant funds. This may include costs for lab equipment and study supplies, participant incentives, travel to gather data, and the like.

FDR Major Grants *cannot* support:

- A graduate student thesis project.

FDR Major Grant Funding

Major Grants are **up to \$10,000** for research or creative activity. The FDR review committee reserves the right to adjust the award amount if the budget is not fully justified.

Funds must be spent by the end of the following fiscal year (June 30) after the award is granted. The account will automatically close at that time. Extensions *may* be granted upon formal approval from the OSPR/FDR Committee. Notify OSPR immediately if you find you need more time to complete your project.

FDR Major Grant Reporting

The PI from all FDR Major Grants must submit a Final Activity Report upon completion of the project. You may submit this report within six months after the project's completion date. Reporting occurs in the ESU eGRANTS portal. You will receive notices that your report deadline is approaching.

Major Grant Proposal Preparation Guide

Note: Letters of Intent (LOI) are not required this year.

1. Project Title

2. **Abstract:** Maximum of 500 words summarizing the project, presented at the beginning of the application

3. **Project Narrative:** *maximum 8 pages and must include*

- a. **Project Significance:** The significance of the project relative to research or existing creative activity in its general field should be stated in language that can be understood by an educated non-expert; discipline-specific jargon should be avoided. This section should include the intellectual merits. For example, has a similar question been addressed previously? How is the proposed work an improvement to the current research?
- b. **Project Description and Methodology:** This section should include a clear description of the work to be carried out. The project description should be written for an audience of colleagues with similar interests and expertise; however, please avoid esoteric explanations and jargon.
 - i. **Project Goals:** The specific goals (problems, questions, hypotheses). Indicate the expected time when these goals will be achieved. If the work is expected to extend over several years, describe what will be accomplished with the funds requested for the fiscal year, given that funding is not guaranteed for subsequent years.
 - ii. **Outcomes:** Provide detailed expected outcomes of the project, including student-learning-outcomes (SLOs).
- c. **Key Personnel/Student Researchers:** Describe the role and discipline of the personnel requested in the budget as well as any team members involved (**including students**). If student researchers have not yet been identified, specify how many students you will involve in the project, whether they are undergraduate or graduate students, and how you will recruit them.
- d. **Professional Learning Development Statement:** *maximum 1 page*

This statement should justify and explain to the reviewers the faculty member's rationale for pursuing this grant opportunity; this should be a compelling statement clearly explaining the opportunity involved, and how it will enhance his/her specific skill set as a researcher, teacher, etc.; it must also detail how the activity

- will positively impact students and the broader community and/or field of study.
- e. **Literature Cited:** Any standard reference format is acceptable (ex: APA, AMA). Both in-text citations and full references are expected.
 - f. **Timeline:** Please include approximate project startup objectives, delivery times, major events, and follow-up activities in chronological order.
 - g. **History of Funding:** *maximum of 1 page*
List any internal or external funding you have received in the last three years; include submitted proposals that have been rejected. If none, please indicate “none”.
4. **Budget:** Use the FDR budget template provided in [ESU eGRANTS](#).
 5. **Budget Justification** (aka Budget Narrative): Provide narrative and calculation details of all the budget template entries; see sample in Budget Instruction section, p. 12. If you are using a vehicle for travel, visit the [Trip Optimizer](#) and include a print out with your application. The business office will only reimburse at the rate of the most cost-effective way to travel.
 6. **CVs for the PI and the Co-PI(s):** *maximum 2 pages each* Include all relevant professional publications and courses taught as relevant to the SLOs listed.

IV. POLICIES AND PROCEDURES

A. Submission and Notification

ALL FDR grant proposals must be submitted via [ESU eGRANTS](#) by the deadline, or they will not be considered, regardless of the reason. Contact the OSPR in advance if you need assistance.

Committee decisions on whether your project was awarded or denied funding will be announced *approximately* one month from the submission deadline. All FDR Committee decisions are final and appeals are not accepted.

B. Post Award Implementation

Post Award Meeting

If awarded a Major grant through FDR, the OSPR will reach out for a post-award meeting to help prepare you for implementation. If awarded an FDR Mini grant, this meeting is optional.

Procurement

PIs and Co-PIs must follow ESU’s policies and procedures regarding making purchases or obtaining services with grant funds. Reference the Procurement Chart in the [OSPR Quick Reference Guide](#) and visit the [ESU procurement website](#) for guidelines on how to proceed. Liaise with the OSPR before making any purchases to ensure compliance with policies and guarantee a speedy reimbursement, if applicable. You may also consult with your department secretary who is familiar with making purchases for ESU employees.

Travel Approval and Reimbursements

PI must submit the ORIGINAL Travel Approval Form to the Grant and Compliance Accountant.

Grant-funded travel, if part of your approved budget, is a reimbursable expense. Faculty members will make their own travel arrangements and pay with either personal credit card or commercial travel card (available through the ESU-Kutztown collaboration).

Travel is first and foremost governed by ESU travel policies and procedures. The office that oversees this is the [Business Office, Accounts Payable](#). To receive reimbursement for any travel related to an FDR grant, you must complete a travel expense voucher, attach **all original receipts** and obtain signatures from your department chair and college dean, as outlined in ESU's [Travel Policies and Procedures](#). Travel approval and travel expense voucher forms can be found on the accounts payable page or the [OSPR Forms page](#).

Funding Note—10% Flexibility Allowance

Grantees have a maximum 10% total grant award amount flexibility for moving funds between budget line items in grant expenditures without any prior OSPR approval. For example, if you have a \$1,200 FDR Mini grant and you need \$120 more to cover a consultant fee, and you spent \$120 less on supplies, then this falls under the 10% flexibility allowance and you can make these expenditures. For changes over the 10% rule, a new budget must be presented to the OSPR and approved by the FDR Committee in advance of any expenditures.

Reports

See individual grant type for reporting details.

V. SCORING CRITERIA AND DEFINITIONS

Grants submitted to FDR will first be considered for eligibility. A proposal is considered eligible for funding consideration in the requested category if, a) The faculty PI meets all eligibility requirements (see page 3); and b) The project meet all eligibility requirements for what can be supported under a given funding mechanism's rules (see page 4 for mini grants and page 6 for major grants). Applications considered eligible for funding will be scored as detailed below. Those deemed ineligible will be removed from consideration.

Scoring for Mini and Major Grants

For each eligible FDR mini grant and major grant proposal, the following criteria will be scored on a 5-point Likert-type scale ranging from 5 points (fully met) to 1 point (not met). Points will be tallied to generate a total score. One additional point will be added to applications from tenure-track faculty (see pg 3).

1. Rationale: The need for the project or training is well-established, compelling, and aligns with ESU's mission and goals and those of the broader field of study.

2. Goals & Objectives: The goals and objectives (major grant) and general statement of purpose (mini grant) are clear, are aligned with the rationale established, and are reasonable for the project's proposed timeframe.

3. Methods: The manner in which the project's goals/objectives/purpose are to be met are

appropriate, well-detailed, and justified. Appropriate scientific rigor and/or creative process are involved as expected in the given field of study.

4. Student Impact: Student learning outcomes (SLOs) linked to the project are fully addressed, are clear, and are compelling. Students, particularly undergraduate students, directly benefit from the project in a tangible manner. Student impacts can be sustained.

Note: Use of students solely as data collectors is less desirable than having students more fully involved in the entire research/creative process.

5. Faculty Impact: Faculty professional development through the proposed project is explained, is clear, and is compelling. How the project will influence longer-term faculty growth at ESU, in both research and teaching, is well explained.

Note: As explained on p. 4, fully self-promotional faculty impacts will not be reviewed favorably.

6. Budget: Costs are allowable, reasonable for the field of study, detailed in the budget justification, and are consistent with project's overall purpose and methods.

7. Feasibility: The methods and anticipated outcomes for the faculty member, included students, ESU, and the broader community can reasonably be expected to be attained by the project using the methods described and within the timeframe and budget proposed.

8. Clarity, Completeness, and Style: All required elements of the application are included and conform to formatting guidelines. The writing style is clear, error free, and balances use of technical elements and jargon appropriately.

VI. BUDGET INSTRUCTIONS

The project budget must include all anticipated expenses and revenue. Wherever possible, projected expenses should be based on estimates provided by suppliers or appropriate ESU offices. Applicants are expected to exercise prudence and request funds only for essential costs that cannot be covered otherwise. Utilize the [OSPR Quick Reference Guide](#) and visit the [ESU procurement website](#) for additional guidelines. The following instructions pertain to specific budget items. Take care, as mathematical errors are cause for the FDR Committee to reject any proposal. Contact the OSPR for help with your budget if needed.

- 1. Alternative/Additional Work Assignments:** ESU funded Alternate/Additional Work Assignment (AWA) requests are applicable for faculty members requesting course release in their grant budgets. Scheduling for the next academic year takes place the previous October and AWA requests for spring are **due October 1**. AWA requests for fall, or entire academic year release, are **due the preceding academic year on April 15**. However, your AWA submission is due only if you are awarded the FDR grant that has release in the budget. The AWA is initiated in a separate ESU eGRANTS submission to the competition "Alternative Work Assignment". Use the cost center given with your FDR award. This process of "getting" the FDR award is dependent on a successful AWA application, which is approved, ultimately, by the President.
- 2. Summer stipends:** Grant funds paying summer stipends shall be inclusive of benefits. For example, a grant stipend for \$2,000 with a 16.94% fringe benefit rate will be broken

down as \$1,710.28 salary and \$289.72 fringe benefits. In no instance shall fringe benefits be considered match by the university.

3. **Student Wages:** The exact nature of work to be performed by students should be indicated either in the proposal narrative or the budget justification. Requests for student hourly wages that exceed Pennsylvania's minimum wage are allowed, but must include justification in terms of university policy and/or the nature of the work to be performed by students. Clearly indicate how much students will be paid and for how many hours. No fringe is required for student wages during the academic year, but budget 7.65% fringe for student wages in summer.
4. **Materials and Supplies:** These are consumable items required to carry out the project.
5. **Equipment:** Reusable items over \$300
6. **Consultants/Other Services:** Contracted services (excluding advertising and publication) from individuals or companies outside ESU. *Consider the available expertise and services available within the ESU community before proposing use of an external consultant.*
7. **Advertising/Publication** – Promotional items, copying, outreach efforts, etc. and publication costs
8. **Travel:** Detail all travel expenses in the budget justification. Utilize online price quotes. Visit the ESU [Trip Optimizer](#) if traveling by car or vehicle and include a print out with your application. The business office will only reimburse at the rate of the most cost-effective means of travel.
9. **Other Support:** Estimated or actual funds pledged or anticipated from other sources (departmental, your own, external funding, etc.) should be listed in this column of the budget format; these sources should be identified in the budget justification.

Budget Justification Sample: Every dollar amount in the budget template must be explained and the summary costs for each category above should be detailed as shown in the example below.

- a. *Example:* The supplies total (\$279.85) in the budget template will be used in the Digital Visionary Art e-course and in supplemental courses using the digital drawing tablet:
 - Art Pen = \$99.95 (<https://www.wacom.com/en-us/store/pens/art-pen>)
 - Airbrush Pen = \$99.95 (<https://www.wacom.com/en-us/store/pens/airbrush-pen>)
 - Inking Pen = \$79.95 (<https://www.wacom.com/en-us/store/pens/inking-pen>)

VII. APPENDIX

Key Terms

Principal Investigator (PI) – A Principal Investigator is the **primary** individual responsible for the preparation, conduct, and administration of a research grant, cooperative agreement, training or public service project, contract, or other sponsored project. This individual ensures compliance with applicable laws and regulations and institutional policy governing the conduct of sponsored research.

Co-Principal Investigator (Co-PI) – Key personnel who have responsibilities similar to that of the PI on research projects. While the PI has ultimate responsibility for the conduct of a research project, the Co-PI is also obligated to ensure the project is conducted in compliance with applicable

laws and regulations and institutional policy governing the conduct of sponsored research.

Links

[OSPR FDR page](#)

[OSPR GRANT-RELATED FORMS AND RESOURCES](#)

<http://www.esu.edu/ospr/resources/forms.cfm>

[ESU eGRANTS](#)